

3-18-05 DT03 Reg'd PCT/PTO 16 MAR 2005 PCT

PTO-1390 (Rev. 12-2004)

Approved for use through 3/31/2007. OMB 0651-0021
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

031605

1588 Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.		ATTORNEY'S DOCKET NUMBER 0740-70
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371		U.S. APPLICATION NO. (If known, see 37 CFR 1.5) 107528284
INTERNATIONAL APPLICATION NO. PCT/DE2003/003094	INTERNATIONAL FILING DATE 17 September 2003	PRIORITY DATE CLAIMED 17 September 2002
TITLE OF INVENTION METHOD FOR AUTOMATICALLY HANDLING UNDESIRED ELECTRONIC MAIL IN COMMUNICATION NETWORKS AT THE RECIPIENT END		
APPLICANT(S) FOR DO/EO/US Walter Keller		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
<p>1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a submission under 35 U.S.C. 371.</p> <p>2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a submission under 35 U.S.C. 371.</p> <p>3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.</p> <p>4. <input checked="" type="checkbox"/> The US has been elected (Article 31).</p> <p>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) <ul style="list-style-type: none"> a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau). b. <input checked="" type="checkbox"/> has been communicated by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). </p> <p>6. <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). <ul style="list-style-type: none"> a. <input checked="" type="checkbox"/> is attached hereto. b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4). </p> <p>7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) <ul style="list-style-type: none"> a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> have been communicated by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input checked="" type="checkbox"/> have not been made and will not be made. </p> <p>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</p> <p>9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</p> <p>10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</p>		
Items 11 to 20 below concern document(s) or information included:		
<p>11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</p> <p>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</p> <p>13. <input checked="" type="checkbox"/> A preliminary amendment.</p> <p>14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.</p> <p>15. <input checked="" type="checkbox"/> A substitute specification.</p> <p>16. <input checked="" type="checkbox"/> A power of attorney and/or change of address letter.</p> <p>17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821- 1.825.</p> <p>18. <input checked="" type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4).</p> <p>19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</p> <p>20. <input type="checkbox"/> Other items or information:</p>		

This collection of information is required by 37 CFR 1.414 and 1.491-1.492. The information is required to obtain or retain a benefit by the public, which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 15 minutes to complete, including gathering information, preparing, and submitting the completed form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

U.S. APPLICATION NO. (if known, see 37 CFR 1.5) 10/528284		INTERNATIONAL APPLICATION NO.		ATTORNEY'S DOCKET NUMBER 0740-70	
21. The following fees are submitted: <input checked="" type="checkbox"/> a) Basic national fee..... \$300.00 <input checked="" type="checkbox"/> b) Examination fee..... \$200.00 <input checked="" type="checkbox"/> c) Search fee..... \$500.00				Applicant use \$ 300.00 \$ 200.00 \$ 500.00 Office use only \$ 1,000.00	
TOTAL OF ABOVE CALCULATIONS = \$1000.00					
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.					
Total Sheets	Extra sheets	Number of each additional 50 or fraction thereof (round up to a whole number)		RATE	
- 100 =	/50 =			x \$250.00	\$
Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$	
CLAIMS	NUMBER FILED		NUMBER EXTRA	RATE	\$
Total claims	20 - 20 =		0	x \$50.00	\$
Independent claims	1 - 3 =		0	x \$200.00	\$ 0.00
MULTIPLE DEPENDENT CLAIM(S) (if applicable)				+ \$360.00	\$
TOTAL OF ABOVE CALCULATIONS =				\$ 0.00	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by ½.				\$	
				SUBTOTAL =	\$
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	
				TOTAL NATIONAL FEE =	\$
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				\$	
				TOTAL FEES ENCLOSED =	\$ 1,000.00
				Amount to be refunded:	\$
				Amount to be charged	\$
a. <input checked="" type="checkbox"/> A check in the amount of \$ <u>1,000</u> to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>02-0460</u> . A duplicate copy of this sheet is enclosed. d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.					
NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.					
SEND ALL CORRESPONDENCE TO:					
The Maxham Firm 750 B Street, Suite 3100 San Diego, CA 92101 USA 619-233-9004					
 SIGNATURE Lawrence A. Maxham, Esq. NAME <u>24,483</u> REGISTRATION NUMBER					

IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)**CONCERNING A FILING UNDER 35 U.S.C. 371**

In re

Applicants : WALTER KELLER
 U.S. Application No. : UNKNOWN
 International Application No. : PCT/DE2003/003094
 International Filing Date : 17 September 2003 (17.09.2003)
 For : METHOD FOR AUTOMATICALLY
 HANDLING UNDESIRED
 ELECTRONIC MAIL IN
 COMMUNICATION NETWORKS AT
 THE RECIPIENT END
 Priority Data : DE 102 43 243.0
 Filed: 17 September 2002 (17.09.2002)
 Our Attorney/Docket Reference : 0740-070

Mail Stop PCT
 Commissioner for Patents
 P.O. Box 1450
 Alexandria, VA 22313-1450

EXPRESS MAIL LETTER

The below items are enclosed with this letter for filing the above-identified National Phase application:

- | | |
|---|-------------|
| 1. Express Mail Certification | (1 page); |
| 2. Transmittal Letter to the U.S. Designated/Elected Office | (2 pages); |
| 3. Declaration for Patent Application (Unexecuted) | (2 pages); |
| 4. Power of Attorney (Unexecuted) | (1 page); |
| 5. Verification (1 page), English translation of
PCT application as filed | (7 pages); |
| 6. English translation of Replacement claims 1-7
as filed in PCT application | (2 pages); |
| 7. Preliminary Amendment w/new claims 9-28 (6 pages)
with substitute Specification | (16 pages); |
| 8. Drawing | (2 sheets); |
| 9. Request (PCT/RO/101) | (4 pages); |

10/528204

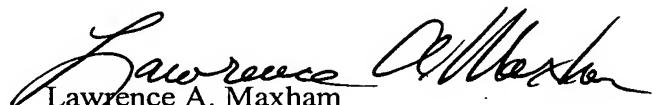
DTec'd PCT/PTO 16 MAR 2005

10. Copy of Published International Application
WO 2004/028103 A1 (15 pages);
11. International Search Report (PCT/ISA/210) as published (2 pages);
12. Copy of Form PCT/IB/416/409/Written Opinion (6 pages);
13. Check in the amount of \$1,000.00; and
14. Return Postcard.

The serial number of the Express Mail certificate is EV 562505594 US, mailed on 16 MARCH 2005.

Respectfully submitted,

WALTER KELLER



Lawrence A. Maxham
Attorneys for Applicant
Reg. No. 24,483

THE MAXHAM FIRM

A PROFESSIONAL LAW CORPORATION

Symphony Towers
750 "B" Street, Suite 3100
San Diego, California 92101
Telephone: (619) 233-9004
Facsimile: (619) 544-1246

10/528284

DT15 Rec'd PCT/PTO 16 MAR 2005

"EXPRESS MAIL" MAILING LABEL EV562505594US

DATE OF DEPOSIT: 16 March 2005

I HEREBY CERTIFY THAT THESE PAPERS AND FEE ARE BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE "EXPRESS MAIL POST OFFICE TO ADDRESSEE" SERVICE UNDER 35 U.S.C. 371 ON THE DATE INDICATED ABOVE AND IS ADDRESSED TO MAIL STOP PCT, COMMISSIONER FOR PATENTS, P.O. BOX 1450, ALEXANDRIA, VA 22313-1450.

Belinda M. Owens
(NAME)

Belinda M. Owens
(SIGNATURE)